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09/733,616	12/07/2000	Jeffry Grainger	20313-000500US	4192

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EXAMINER

MOONEYHAM, JANICE A

ART UNIT	PAPER NUMBER
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3629

DATE MAILED: 10/25/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/733,616

Applicant(s)

GRAINGER, JEFFRY

Examiner

Jan Mooneyham

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 29 June 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-44 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-44 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

### **DETAILED ACTION**

1. This is in response to the communication filed on June 29, 2004, wherein:

Claims 1-44 are currently pending in this application;

Claims 3, 8, and 24 have been amended;

Claims 34-44 have been added;

No claims were cancelled.

#### ***Information Disclosure Statement***

2. The information disclosure statement (IDS) submitted on August 20, 2004 is being considered by the examiner.

#### ***Response to Amendment***

#### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

1. Although applicant amended three of the claims, the applicant did not amend the claims in a way to overcome the 112 rejection. The applicant amended two claims to correct a typo and amended the third claim to change the word "window" to "menu."
2. Claims 1-44 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.
3. The applicant states that a "signal" is received. What type signal?  
Applicant needs to identify the abbreviation IDS.

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What does the applicant mean by “automatically”?

4. Claims 1-33 are rejected under 35 U.S.C. 112, second paragraph, as being incomplete for omitting essential steps or elements, such omission amounting to a gap between the steps or structure. See MPEP § 2172.01. The omitted steps or elements are:

Applicant claims to be associating the IDS information with an electronic information disclosure statement. What does applicant mean? How is the associating done?

What does the applicant mean by “extracting the IDS information.”

What is a “pointer,” and what does the applicant mean that each pointer corresponds to an electronic document?

How is the IDS information extracted using a pop-up menu?

How do the computer instructions provide a prompt to a user for generating a signal?

How do the instructions save the electronic information disclosure statement?

How do the instructions provide access to the IDS to multiple users?

What information is extracted and from what reference information?

### ***Claim Rejections - 35 USC § 101***

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

5. Claims 1-23 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter.

The basis of this rejection is set forth in a two-prong test of:

- (1) whether the invention is within the technological arts; and
- (2) whether the invention produces a useful, concrete, and tangible result.

For a claimed invention to be statutory, the claimed invention must be within the technological arts. Mere ideas in the abstract (i.e., abstract idea, law of nature, natural phenomena) that do not apply, involve, use, or advance the technological arts fail to promote the "progress of science and the useful arts" (i.e., the physical sciences as opposed to social sciences, for example) and therefore are found to be non-statutory subject matter. For a process claim to pass muster, the recited process must somehow apply, involve, use, or advance the technological arts.

In the present case, claims 1-23 only recite an abstract idea. In Claim 1, the recited steps of receiving a signal and associating information does not apply, involve, use, or advance the technological arts since all of the recited steps can be performed in the mind of the user or by use of a pencil and paper. These steps only constitute an idea. There is no technology recited in the body of the claims. Claims 2-23 read on Claim 1.

As to technological arts recited in the preamble, mere recitation in the preamble (i.e., intended or field of use) or mere implication of employing a machine or article of manufacture to perform some or all of the recited steps does not confer statutory subject matter to an otherwise abstract idea unless there is positive recitation in the claim as a whole to breathe life and meaning into the preamble. In the present case, none of the recited steps are directed to anything in the technological arts as explained above with the exception of the recitation in the preamble that the method is "computerized". Looking at the claim as a whole, nothing the body of the claim recites any structure or functionality to suggest that a computer performs the recited steps. Therefore, the preamble is taken to merely recite a field of use. Mere intended or nominal use of a component, albeit within the technological arts, does not confer statutory subject matter to an

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otherwise abstract idea if the component does not apply, involve, use, or advance the underlying process.

***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

6. Claims 1, 2, 5, 6, 8-14, 21-25, 27, 32, 34-36 and 42-44 are rejected under 35

U.S.C. 102(e) as being anticipated by Hunter et. al (US Patent 6,298,327) (hereinafter referred to as Hunter).

**Referring to Claims 1 and 24:**

Hunter discloses computer implemented method and system for generating an information disclosure statement comprising:

receiving a signal indicating that a user has identified an electronic document that contains

reference information to be disclosed to a patent office, the reference information including IDS information (col. 3, lines 53-66, col. 13, lines 7-17, col. 9, lines 55-56, col. 17, lines 3-7); and

Associating the IDS information with an electronic information disclosure statement (col. 3, lines 53-66, col. 9, lines 55-56, col. 13, lines 7-17, col. 17, lines 3-7).

**Referring to Claims 2 and 25:**

Hunter further discloses a method wherein associating includes storing the IDS information in the electronic information disclosure statement (col. 9, lines 55-56, col. 17, lines 3-7, Figs. 1-3).

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**Referring to Claims 5 and 27:**

Hunter further discloses a method further comprising extracting IDS information from the reference information (col. 4, lines 21-27, col. 5, lines 9-11, col. 9, lines 10-14, 28-29, 31-47, 55-56, col. 17, lines 3-7).

**Referring to Claim 6:**

Hunter further discloses a method wherein the IDS information is extracted from the reference information automatically in response to the signal (col. 2, lines 43-47, col. 4, lines 46-55, col. 5, lines 9-11, col. 8, lines 36-49, col. 9, lines 10-14, col. 9, lines 31-47 and 55-56, col. 17, lines 3-7, col. 20, lines 8-26, and 36).

**Referring to Claim 8:**

Hunter further discloses a method wherein the prompt comprises a field in a mouse pop-up window (col. 5, lines 54-63).

**Referring to Claims 9 and 10:**

Hunter further discloses a method wherein the prompt comprises an electronic button or a computer screen icon (Fig. 5 (93, 97), Fig. 8 (155)).

**Referring to Claim 11:**

Hunter further discloses a method wherein the electronic document is downloaded from a database coupled to a computer network (Fig. 1 (15), col. 3, lines 31-38, col. 7, lines 55-64).

**Referring to Claim 12:**

Hunter further discloses a method comprising saving the electronic information disclosure statement in a database (Fig. 2, col. 20, lines 8-26, and 36).

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**Referring to Claim 13 and 34:**

Hunter further discloses a method and system wherein the database is a local database coupled to a local computer network (Figs. 1-3, col. 7, lines 61-67).

**Referring to Claim 14 and 35:**

Hunter further discloses a method and system wherein the database is a remote database coupled to the internet (Fig. 1).

**Referring to Claims 21, 22, 42 and 43:**

Hunter discloses a method and system where the electronic document is an electronic version of a US patent or wherein the document is an electronic version of a foreign patent document (col. 5, lines 9-11).

**Referring to Claims 23 and 44:**

Hunter discloses a method wherein the electronic document is an electronic version of a publication (col. 5, line 11).

**Referring to Claim 32 and 36:**

Hunter further discloses a computer system wherein the computer-readable memory further includes computer instructions to save the electronic information disclosure statement in a database (Figs. 1-4).

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

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7. Claims 4, 15, 17-20,30, and 38-41 are rejected under 35 U.S.C. 103(a) as being unpatentable over Hunter as applied to Claims 1 and 24 and further in view of Takano et al. (US 6,434,580) (hereinafter referred to as Takano).

**Referring to Claim 4:**

Hunter discloses the limitations of Claim 1. Hunter does not disclose a method wherein receiving a second signal indicating that a patent application corresponding to the electronic information disclosure statement is being electronically filed in a patent office, transmitting the information pointers to the patent office.

However, Takano discloses disclose a method wherein receiving a second signal indicating that a patent application corresponding to the electronic information disclosure statement is being electronically filed in a patent office and transmitting the IDS information to the patent office (Figs. 15, col. 15, line 37 thru col. 16, line 14, col. 16, lines 34-45, and Fig. 18).

It would have been obvious to one of ordinary skill in the art to incorporate into the method of Hunter the teachings of Takano since the filing patents electronically is an ordinary practice in the industry and an IDS is often filed along with a patent application.

**Referring to Claim 15:**

Hunter and Takano further discloses a method and system comprising providing access to the electronic information disclosure statement to multiple users over a network (Hunter col. 3, lines 53-67) (Takano - Figs. 1-18, col. 2, line 1 thru col. 4, line 55).

**Referring to Claim 17 and 38:**

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Takano further discloses method and system comprising providing the user with instructions on when an electronic document is to be disclosed to a patent office (Figs. 1-18, col. 15, lines 37 thru col. 16, line 14).

**Referring to Claim 18 and 39:**

Takano further discloses a method and system comprising electronically transmitting the electronic information disclosure statement to a patent office (Figs. 1-18, col. 15, line 37 thru col. 16, line 14 ( an IDS is often filed along with a patent application).

**Referring to Claim 19 and 40:**

Takano further discloses a method and system comprising receiving a second signal indicating that a patent application corresponding to the electronic information disclosure statement is being electronically filed in a patent office; and electronically transmitting the electronic information disclosure statement to the patent office contemporaneously with the patent application (Figs. 15 and 18 – IDS often are filed along with the patent application).

**Referring to Claim 20 and 41:**

Takano further discloses a method and system comprising automatically generating a letter when the electronic information disclosure statement is filed in a patent office (Figs. 15 and 18- proof transmitting means)

The fact that the letter is to a party in a foreign country or the contents of the letter is non-functional descriptive material and carries little patentable weight.

**Referring to Claim 30:**

Hunter further discloses a computer system wherein the IDS information is extracted using a pop-up menu system (col. 5, lines 54-63).

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8. Claims 7, 16, 31, 33 and 37 are rejected under 35 U.S.C. 103(a) as being unpatentable over Hunter as applied to claims 1 and 24 and further in view of Tran (2001/0049707) (hereinafter referred to as Tran).

**Referring to Claim 7 and 31:**

Tran discloses method and system comprising providing a prompt to the user for generating the signal (page 4, [0041]).

**Referring to Claims 16, 33 and 37:**

Tran discloses a method and system further comprising prompting the user for an access code when the user requests access to the statement (page 2 [0019]).

9. Claims 3, 26, 28 and 29 are rejected under 35 U.S.C. 103(a) as being unpatentable over Hunter as applied to Claims 1 and 24 and further in view of Porcari (US 2001/0037460) (hereinafter referred to as Porcari).

**Referring to Claims 3 and 26:**

Porcari discloses associating includes storing a plurality of pointers in the electronic information disclosure statement, wherein each pointer corresponds to an electronic document (Fig. 4 and 5, page 5 [0056]).

**Referring to Claims 28 and 29:**

Porcari discloses a system wherein the IDS information is extracted with one mouse-click (hyperlinks) and wherein the IDS information is extracted automatically by parsing the reference information (page 5 thru page 6 [0055-0058]).

***Response to Arguments***

Applicant's arguments filed on June 29, 2004 have been fully considered but they are not persuasive.

The applicant has argued against the rejections under 35 USC 112, second paragraph. The Examiner maintains the rejection. The term "signal" is indefinite. It is broad enough to encompass someone speaking to another person and telling them that a document contains reference information. The term "automatically" is not clear. Is the applicant trying to incorporate automation by using this term?

Furthermore, the Examiner made the proper rejection under under 35 U.S.C. 112, second paragraph, when examiner rejected the claims as being incomplete for omitting essential steps or elements, such omission amounting to a gap between the elements or steps. See MPEP § 2172.01. The examiner is requesting the applicant to provide the essential steps or elements without adding new matter into the disclosure.

The examiner further maintains the under 35 U.S.C. 101. As stated above, the applicant has failed to incorporate technology into the body of the claims.

The applicant argues against rejection under 102(e) and 103 as to Hunter. The applicant argues that claim 1 recites associating the IDS information with an electronic information disclosure statement and that the term "information disclosure statement" is old and well known in the art. The examiner is aware that the term information disclosure statement is well known in the art. The examiner is also aware that another well known term in the art is invention disclosure statement. IDS has been used as an abbreviation for both of these terms.

As for the applicant's arguments that Hunter does not disclose an electronic information disclosure statement, the examiner directs the applicant to the following:

First, the invention in Hunter is an expert support system for authoring invention disclosures over computers (See Fig. 1 and col. 2, lines 43-47, col. 7, lines 55-67). Secondly, the examiner directs the applicant to Disclosure Sections (Table 2 – prior art US Patents, foreign patents, and publication). The examiner also directs applicant to column 9, lines 31-56 wherein it is stated that the advantages of the invention disclose that requirements of patent application invention disclosures are established by law and regulations and all patent granting organizations have established format requirements for invention disclosures as noted below. Line 55 states that one of the following requirements is a description of related art including information disclosed under section 1.97 and 1.98. Thus, Hunter discloses an invention disclosure which provides an expert support system that guides the user through authoring an invention disclosure which includes a description of related art including information disclosed under section 1.97 and 1.98, or an information disclosure statement.

Hunter identifies an expert support method and system for authoring invention disclosures (page 2, lines 43-47). The prior art is considered by this system (col. 3, line 62, col. 4 – Table 1), col. 5, Table 2, lines 9-11). The objects of the invention are numerous, with one object being filing a patent application with the Patent and Trademark Office, or other patent offices (col. 6, lines 7-11). The system is equipped to follow all established format requirements for invention disclosures which includes a description of related art including information disclosed under sections 1.97 and 1.98 (col. 9, lines 31-56), or information disclosure statements. Therefore, Hunter can be said to extract IDS information from reference information.

As for the Official Notice taken as to Claims 28 and 29, the examiner has cited a reference disclosing the information.

The examiner has enclosed a copy of provisional application as requested by applicant for Tran. As for application number 09/558,192, the examiner directs the applicant to MPEP Section 103. The applicant may receive access to this by providing the proper written request and fee.

As for applicant's arguments that Tran does not disclose "receiving a signal," the examiner disagrees. A signal can be anything, as the applicant points out in his argument (The applicant states on page 9 of his arguments that specification describes several exemplary signals that may be used in accordance with various embodiments of the invention. The applicant further states that these examples are not exhaustive of the universe of signals.) Therefore, since the term signal is not limited, the examiner will construe it as broadly as possible to encompass any indication that a reference is to be disclosed.

Takano, like Hunter, discloses filing a patent application electronically. As set forth in arguments above, a patent application may include an information disclosure statement.

***Conclusion***

**THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

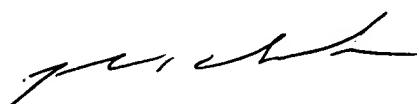
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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jan Mooneyham whose telephone number is (703) 305-8554. The examiner can normally be reached on Monday through Thursday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Weiss can be reached on (703) 308-2702. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

JM



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